

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Steven M. Bloom et al. Art Unit : 3624
Serial No. : 10/077,182 Examiner : Chandler, Sara M
Filed : February 15, 2002 Conf. No. : 9522
Title : BALANCING ARBITRAGABLE TRACKING SECURITIES

MAIL STOP AMENDMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450


INFORMATION DISCLOSURE STATEMENT

Applicants request consideration of the references listed on the attached PTO-1449 form. Under 37 C.F.R. § 1.98 (a)(2)(ii), only copies of foreign patent documents and/or non-patent literature are enclosed. Copies of any listed U.S. patents or U.S. patent application publications can be provided upon request.

This statement is being filed after a first Office action on the merits, but before receipt of a final Office action or a Notice of Allowance. Please charge the \$180 payment of the late submission fee of §1.17(p) to Deposit Account No. 06-1050. Please apply any other charges or credits to Deposit Account No. 06-1050.

Respectfully submitted,

Date: 6/18/07



Denis G. Maloney
Reg. No. 29,670

Fish & Richardson P.C.
225 Franklin Street
Boston, MA 02110
Telephone: (617) 542-5070
Facsimile: (617) 542-8906

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 09857-092001	Application No. 10/077,182
Information Disclosure Statement by Applicant (Use several sheets if necessary)		Applicant Steven M. Bloom et al.	
		Filing Date February 15, 2002	Group Art Unit 3624
(37 CFR §1.98(b))			

U.S. Patent Documents							
Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
	AA						
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						

Foreign Patent Documents or Published Foreign Patent Applications								
Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
	AH	WO 10/72106	10-4-01					
	AI							
	AJ							
	AK							
	AL							

Other Documents (include Author, Title, Date, and Place of Publication)		
Examiner Initial	Desig. ID	Document
	AM	Olienik et al., "Using World Equity Benchmark Shares to Achieve International Diversification," Journal of Financial Planning, v13n6, pp: 98-113, June 2000.
	AN	"iShares, Inc. Announces Results of Special Shareholders' Meetings", Business Wire, July 3, 2000.
	AO	"iShares, Inc. Announces Estimated Tax Characteristics of August 31, 2000 Distributions", Business Wire, 2512, Sept. 7, 2000.
	AP	"iShares, Inc. Announces Launch of Its New EMU Fund and 'Non-Diversified' Classification of the EMU Fund", Business Wire, 2703, July 27, 2000.
	AQ	"Barclays Global Investors Continues Expansion of the Largest Worldwide Marketplace of Exchange Traded Funds; New iShares for all of Europe in one investment", Business Wire, 2322, July 27, 2000.
	AR	"Barclays Global Investors Begins Expansion of Exchange Traded Fund Offering; iShares Provide the Best of Stocks and Index Funds in One Investment", Business Wire, May 18, 2000.
	AS	"Barclays Global Investors Launches New Exchange Traded Fund Tracking Taiwan; iShares MSCI Taiwan is 19 th MSCI Country Managed by BGI", Business Wire, 0162, June 22, 2000.

Examiner Signature	Date Considered
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

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Other Documents (include Author, Title, Date, and Place of Publication)		
Examiner Initial	Desig. ID	Document
	AT	Malkiel, Burton, G., "Investors Shouldn't Fear 'Spiders' --- Exchange-traded funds have some unique advantages and deserve a respected place in the menu of index products." The Asian Wall Street Journal: New York: 05 June 2000, p. 8 (full text) ProQuest (online) (retrieved 16-08-2002).
	AU	Nasdaq 100 Trust Series 1 Prospectus June 30, 2000
	AV	Nasdaq 100 Index Tracking stock 9/12/00
	AW	PCT Search Report US 02-35033

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